

**ETHICS AND CAMPAIGN DISCLOSURE
BOARD, IOWA[351]**

Rules transferred from agency number [190] to [121] to conform with the reorganization numbering scheme in general, IAC Supp. 9/9/87.
Prior to 3/30/94, Campaign Finance Disclosure Commission [121]

**CHAPTER 1
COMPLAINT, INVESTIGATION,
AND RESOLUTION PROCEDURE**

- 1.1(68B) Formal complaints
- 1.2(68B) Investigations—board action
- 1.3(68B) Grounds for disciplinary action
- 1.4(68B) Disciplinary remedies; routine enforcement matters—contested case challenge
- 1.5(17A,68B) Informal settlements

**CHAPTER 2
IOWA ELECTION CAMPAIGN FUND**

- 2.1(56) Interpretation of checkoff markings
- 2.2(56) Director of revenue and finance—monthly reports
- 2.3(56) Funds—application and transfer
- 2.4(56) Nonlegitimate Iowa election campaign fund expenses
- 2.5(56) Documentation by political parties
- 2.6(56) Legitimate campaign expenses
- 2.7 Reserved
- 2.8(56) Limitations on types of expenditures
- 2.9(56) Change not permitted
- 2.10(56) Rescission not permitted
- 2.11(56) Time limit for filing
- 2.12(56) Party report forms

**CHAPTER 3
COUNTY COMMISSIONERS
OF ELECTION**

- 3.1(56) Summary reports
- 3.2(56) Availability of campaign finance information in offices of county election commissioners—costs
- 3.3(56) Summary report form
- 3.4 Reserved

**CHAPTER 4
CAMPAIGN DISCLOSURE PROCEDURES**

**DIVISION I
ORGANIZATIONAL REQUIREMENTS**

- 4.1(56,68B) Requirement to file statement of organization (DR-1)—persons subject to requirements; financial thresholds; where to file; when due
- 4.2(56,68B) Information required: committee name
- 4.3(56,68B) Information required: committee purpose; party affiliation
- 4.4(56,68B) Information required: officers; committee information; signatures
- 4.5(56,68B) Information required: identification of financial institution; account names; voided check
- 4.6(56,68B) Amendments to statement of organization; requirement for new statement of organization for new office sought
- 4.7(56,68B) Committees which support county/local ballot or franchise issues in multiple counties or localities—organization
- 4.8 to 4.19 Reserved

**DIVISION II
REPORTING AND FINANCIAL TRANSACTION
REQUIREMENTS**

- 4.20(56,68B) Disclosure reporting required—persons subject; minimum filing if no financial activity
- 4.21(56,68B) Disclosure reporting required—where to file
- 4.22(56,68B) Report due dates
- 4.23(56,68B) Time of filing—United States Postal Service postmark required; extension for holidays; facsimile filing

4.24(56,68B)	Committees which support county/local ballot or franchise issues in multiple counties or localities—reporting	4.45(56,68B)	Contributions by minors
4.25(56,68B)	Exception from reporting requirement—voluntary reports	4.46(56,68B)	Freewill donations
4.26(56,68B)	Exception from reporting requirement—reports due within five days of one another	4.47(56,68B)	Information required for trusts to avoid a contribution in the name of another person
4.27(56,68B)	Report forms—summary page (DR-2) and supporting schedules	4.48(56,68B)	Contributions from political committees not organized in Iowa
4.28(56,68B)	Schedule A - Monetary Receipts	4.49(56,68B)	Reporting of earmarked contributions
4.29(56,68B)	Schedule B - Monetary Expenditures	4.50(56,68B)	Loans or obligations forgiven or transferred; interest and imputed interest
4.30	Reserved	4.51(56,68B)	Funds from unknown source—escheat; later identification of source
4.31(56,68B)	Schedule D - Incurred Indebtedness	4.52(56,68B)	Inactive status
4.32(56,68B)	Schedule E - In-kind Contributions	4.53(56,68B)	Permanent organizations which become temporary political committees
4.33(56,68B)	Schedule F - Loans Received and Repaid	4.54(56,68B)	Cash transactions
4.34(56,68B)	Schedule G - Breakdown of Monetary Expenditures by Consultants	4.55(56,68B)	Record keeping
4.35(56,68B)	Schedule H - Campaign Property	4.56 to 4.69	Reserved
4.36(56,68B)	Reconciled bank statement required with January report and final report		DIVISION III
4.37(56,68B)	Verification of reports; incomplete reports	4.70(56,68B)	POLITICAL MATERIAL—ATTRIBUTION STATEMENTS
4.38(56,68B)	Information to be included on initial report	4.71(56,68B)	Political attribution or disclaimer statements—contents
4.39(56,68B)	Amendment—statements, disclosure reports and notices	4.72(56,68B)	Yard signs and outdoor advertising
4.40(56,68B)	Filing in the wrong place	4.73(56,68B)	Newspaper or magazine
4.41(56,68B)	Deposit of funds, notification of treasurer of receipts and timely deposit—documentation by check	4.74(56,68B)	Political advertising disclaimers (identification of sponsor)
4.42(56,68B)	Legitimate expenditures of campaign funds	4.75(56,68B)	Specific items exempted from or subject to attribution statement requirement
4.43(56,68B)	Transfers between candidates	4.76 to 4.79	Apparent violations; remedial actions
4.44(56,68B)	Transfers of funds and debts between multiple committees of the same person		Reserved
			DIVISION IV
			CORPORATE POLITICAL ACTIVITY
		4.80(56,68B)	Use of corporate property prohibited
		4.81(56,68B)	Corporate-sponsored political action committee
		4.82(56,68B)	Voter education
		4.83(56,68B)	Permitted activity—reimbursement required

4.84(56,68B)	Use of corporate facilities for individual volunteer activity by stockholders, administrative officers and employees		
4.85(56,68B)	Individual property		
4.86(56,68B)	Political corporations	6.1(56)	Delinquent reports
4.87(56,68B)	Political corporations required to file disclosure reports	6.2(56)	Routine civil penalty assessments for late-filed disclosure reports
4.88(56,68B)	Corporate involvement with political committee funds	6.3	Reserved
4.89 to 4.99	Reserved	6.4(56)	Payment of penalty
		6.5 and 6.6	Reserved
			CHAPTER 7
			CONTESTED CASE PROCEDURES
		7.1(17A,68B)	Scope and applicability
		7.2(17A,68B)	Definitions
		7.3(17A,68B)	Time requirements
4.100(56,68B)	Express advocacy; in-kind contributions; independent expenditures—definitions	7.4(17A,68B)	Requests for contested case proceeding
4.101(56,68B)	Notice of independent expenditure required	7.5(17A,68B)	Notice of hearing
4.102(56,68B)	Disavowal by candidate or ballot issue committee	7.6(17A,68B)	Waiver of procedures
4.103(56,68B)	Specific expenditure situations; valuation of polls	7.7(17A,68B)	Telephone proceedings
4.104 to 4.109	Reserved	7.8(17A,68B)	Disqualification; request for administrative law judge
		7.9(17A,68B)	Consolidation—severance
		7.10(17A,68B)	Pleadings
		7.11(17A,68B)	Service and filing of pleadings and other papers
		7.12(17A,68B)	Discovery
		7.13(17A,68B)	Subpoenas
4.110(56,68B)	Statement of dissolution (DR-3); final report; closing bank statement	7.14(17A,68B)	Motions
4.111(56,68B)	Leftover funds	7.15(17A,68B)	Prehearing conference
4.112(56,68B)	Disposition of property for dissolution of committee	7.16(17A,68B)	Continuances
4.113(56,68B)	Assumption or settlement of debts and obligations	7.17(17A,68B)	Withdrawals
4.114 to 4.119	Reserved	7.18(17A,68B)	Intervention
		7.19(17A,68B)	Hearing procedures
		7.20(17A,68B)	Evidence
		7.21(17A,68B)	Default
		7.22(17A,68B)	Ex parte communication
		7.23(17A,68B)	Recording costs
		7.24(17A,68B)	Interlocutory appeals
		7.25(17A,68B)	Final decision
		7.26(17A,68B)	Board review
5.1(56,68B)	General agency description	7.27(17A,68B)	Application for rehearing
5.2(68B)	Requirements for requesting board opinions	7.28(17A,68B)	Stay of agency actions
5.3(68B)	Processing of opinion requests; formal and informal board opinions; routine administrative advice		CHAPTER 8
5.4 to 5.7	Reserved		PETITIONS FOR RULE MAKING
5.8(56)	Board's agenda	8.1(56)	Petition for rule making
5.9(56)	Treasurer receives forms	8.2(56)	Briefs
5.10(22,56,68B)	Availability of reports and information—copies provided; prohibitions	8.3(56)	Inquiries
		8.4(56)	Agency consideration

CHAPTER 9 DECLARATORY ORDERS

- 9.1(56) Petition for declaratory order
- 9.2(56) Briefs
- 9.3(56) Inquiries
- 9.4(56) Agency consideration
- 9.5(56) Refusal to issue order
- 9.6(56) Contents of declaratory order—
effective date
- 9.7(56) Effect of a declaratory order

CHAPTER 10 PUBLIC RECORDS AND FAIR INFORMATION PRACTICES

- 10.1(56) Definitions
- 10.2(56) Statement of policy
- 10.3(56) Requests for access to records
- 10.4(56) Procedures for access to
confidential records
- 10.5(56) Request for treatment of a record
as a confidential record
- 10.6(56) Procedure by which a subject
may have additions, dissents
or objections entered into the
record
- 10.7(56) Consent to disclosure by the
subject of a confidential
record
- 10.8(56) Notice to suppliers of
information
- 10.9(56) Disclosure without the consent of
the subject
- 10.10(56) Routine use
- 10.11(56) Consensual disclosure of
confidential records
- 10.12(56) Release to subject
- 10.13(56) Availability of records
- 10.14(56) Personally identifiable
information
- 10.15(56) Other groups of records
- 10.16(56) Data processing systems
- 10.17(56) Applicability

- ## CHAPTER 11 PERSONAL FINANCIAL DISCLOSURE
- 11.1(68B) Filing requirements and
procedures
 - 11.2(68B) Persons who are required to file
with the board—by agency
 - 11.3(68B) Annual filing exemption—
procedure
 - 11.4(68B) Disclosure statement
 - 11.5(68B) Penalties
 - 11.6(68B) Failure to file true statement

CHAPTER 12 CODES OF CONDUCT

- 12.1(68B) Board code of ethics
- 12.2(68B) Board sales of goods and
services
- 12.3(68B) Code of ethics for state executive
branch officials and
employees and statewide
candidates

CHAPTER 13 EXECUTIVE BRANCH LOBBYISTS

- 13.1(68B) Lobbyist code of ethics—
executive branch lobbyists
- 13.2(68B) Lobbyist quarterly reports and
lobbyist client reports
- 13.3(68B) Designated representatives
- 13.4(68B) Nonlobbying activities
- 13.5(68B) Penalties for failure to register
- 13.6(68B) Penalties for late lobbyist reports
- 13.7(68B) Penalties for late client reports
- 13.8(68B) Discretionary penalties
- 13.9(68B) Requests for waiver or reduction
of assessed penalties
- 13.10(68B) Lobbyist compensation—
reporting and exemptions

CHAPTER 14 AGENCY PROCEDURE FOR RULE MAKING

- 14.1(17A) Adoption by reference

CHAPTER 15 WAIVERS OR VARIANCES FROM ADMINISTRATIVE RULES

- 15.1(17A) Definition
- 15.2(17A,56,68B) Scope of chapter
- 15.3(17A,56,68B) Applicability
- 15.4(17A) Criteria for waiver
- 15.5(17A,56,68B) Filing of petition
- 15.6(17A) Content of petition
- 15.7(17A) Additional information
- 15.8(17A) Notice
- 15.9(17A) Hearing procedures
- 15.10(17A) Ruling
- 15.11(17A,22) Public availability
- 15.12(17A) Summary reports
- 15.13(17A) Cancellation of a waiver
- 15.14(17A,56,68B) Violations
- 15.15(17A,56,68B) Defense
- 15.16(17A) Appeals